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**OFFICE OF PETITIONS**

OLIFF & BERRIDGE, PLC  
P.O. BOX 19928  
ALEXANDRIA VA 22320

In re Application of  
Handa, et al.  
Application No. 10/664,036  
Filing Date: 17 September, 2003  
Attorney Docket No.: 123776

DECISION

This is a decision on the petition filed on 2 October, 2006, to revive the instant application under 37 C.F.R. §1.137(b) as having as abandoned due to unintentional delay.

The Office regrets the delay in addressing this matter, however, the instant petition was presented to the attorneys in the Office of Petitions only at this writing.<sup>1</sup>

**As discussed in the earlier decision, present Counsel does not appear to have been of record at the time the instant application went abandoned, and, therefore, cannot attest to the nature of the delay that resulted in abandonment.**

The petition as considered under 37 C.F.R. §1.137(b) is **DISMISSED**.

<sup>1</sup> **NOTE:** Monitoring of the status of applications on PAIR can inform one's management of application responses and provide an indication when mailings of Office actions should be expected. Status Inquiries filed at three (3) or four (4) month intervals provide a demonstration of diligence and attention in supporting a petition seeking relief under 37 C.F.R. §1.181.

NOTES:

- (1) Any petition (and fee) for reconsideration of this decision must be submitted within two (2) months from the mail date of this decision. Extensions of time under 37 C.F.R. §1.136(a) are permitted. The reconsideration request should include a cover letter entitled "Renewed Petition under 37 C.F.R. §1.137(b)."
- (2) Thereafter, there will be no further reconsideration of this matter.

BACKGROUND

The record reflects that:

- Applicant failed to reply timely and properly to the non-final Office action—copy enclosed—mailed on 4 April, 2005, with reply due absent and extension of time on or before Tuesday, 5 July, 2005;
- the instant application went abandoned by operation of law after midnight 4 July, 2005;
- it does not appear that the Office mailed a Notice of Abandonment before the original petition was filed;
- on 14 December, 2005, Petitioner filed the original petition, seeking relief under 37 C.F.R. §1.181 averring non-receipt of the Office action in question and alleging that Office records reflect that the Office action in question could not have been received because it was returned to the Office by the US Postal Service (USPS) as undelivered;
- although the application went abandoned by operation of law after midnight 4 July, 2005, no action was taken by anyone herein to seek relief under 37 C.F.R. §1.181 until more than five (5) months after abandonment—at which time Petitioner averred and acknowledged that he was not the Counsel of record at the time the application went abandoned, and—in fact—he did not file of record a Revocation/Power of Attorney empowering him executed on 11 May, 2005, until 27 May, 2005;
- because the record is clear that, *inter alia*, the Office action in question was mailed to the address of record<sup>2</sup> and that Applicant's former Counsel changed address without advance

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<sup>2</sup> The address of former Counsel at Parkhurst & Wendell LLP, Ste. 210, 1421 Prince Street, Alexandria, Virginia 2231402805—on 4 April, 2005, and found by USPS to be undeliverable at the Parkhurst & Wendell LLP forwarding address (P.O. Box 20249, Alexandria, Virginia 22320-1249) on or about 10 April, 2005.

Notice to the Office as is required, and that burden falls to the Applicants and their now-Counsel, the Petitioner herein<sup>3</sup>—and so the petition was dismissed on 17 August, 2006;

- on 2 October, 2006, Petitioner filed the instant petition, with fee, reply in the form of an amendment (previously filed) and made a statement of unintentional delay—however, once again, Petitioner is reminded that he appears not to have been of record at the time the application went abandoned, and so cannot make the statement as to the nature of the delay herein—a statement that appears only can be made by former Counsel, Applicant and/or Assignee of record.

Petitioner is referred to the guidance in the Commentary at MPEP §711.03(c).

The record is clear that the Office action in question was mailed to the address of record on that date, and the apparent combined failures of former Counsel to properly Notice the Office as to a change of address and/or present Counsel to more promptly obtain and submit a Revocation/Power of Attorney and review the record herein, again, is not a burden that falls to the Office.

Out of an abundance of caution, Petitioners always are reminded that those registered to practice *and* all others who make representations before the Office are reminded to inquire into the underlying facts of representations made to the Office and support averments with the appropriate documentation—since all owe to the Office the continuing duty to disclose.<sup>4</sup>

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<sup>3</sup> Either Petitioner was unaware of the state of affairs in the instant matter because he did not review the record herein at the time he became of record (27 May, 2005), or he was aware of the state of affairs at that time and did not act to seek relief at that time until months later.

<sup>4</sup> See supplement of 17 June, 1999. The Patent and Trademark Office is relying on petitioner's duty of candor and good faith and accepting a statement made by Petitioner. See Changes to Patent Practice and Procedure, 62 Fed. Reg. at 53160 and 53178, 1203 Off. Gaz. Pat. Office at 88 and 103 (responses to comments 64 and 109)(applicant obligated under 37 C.F.R. §10.18 to inquire into the underlying facts and circumstances when providing statements to the Patent and Trademark Office).

Specifically, the regulations at 37 C.F.R. §10.18 provide:

**§ 10.18 Signature and certificate for correspondence filed in the Patent and Trademark Office.**

(a) For all documents filed in the Office in patent, trademark, and other non-patent matters, except for correspondence that is required to be signed by the applicant or party, each piece of correspondence filed by a practitioner in the Patent and Trademark Office must bear a signature by such practitioner complying with the provisions of §1.4(d), §1.4(e), or § 2.193(c)(1) of this chapter.  
(b) By presenting to the Office (whether by signing, filing, submitting, or later advocating) any paper, the party presenting such paper, whether a practitioner or non-practitioner, is certifying that—

(1) All statements made therein of the party's own knowledge are true, all statements made therein on information and belief are believed to be true, and all statements made therein are made with the knowledge that whoever, in any matter within the jurisdiction of the Patent and Trademark Office, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be subject to the penalties set forth under 18 U.S.C. 1001, and that violations of this paragraph may jeopardize the validity of the application or document, or the validity or enforceability of any patent, trademark registration, or certificate resulting therefrom; and

(2) To the best of the party's knowledge, information and belief, formed after an inquiry reasonable under the circumstances, that—  
(i) The paper is not being presented for any improper purpose, such as to harass someone or to cause unnecessary delay or needless increase in the cost of prosecution before the Office;  
(ii) The claims and other legal contentions therein are warranted by existing law or by a nonfrivolous argument for the extension,

## STATUTES, REGULATIONS AND ANALYSIS

Congress has authorized the Commissioner to "revive an application if the delay is shown to the satisfaction of the Commissioner to have been "unavoidable." 35 U.S.C. §133 (1994).<sup>5</sup>

The regulations at 37 C.F.R. §1.137(a) and (b) set forth the requirements for a petitioner to revive a previously unavoidably or unintentionally, respectively, abandoned application under this congressional grant of authority. The language of 35 U.S.C. §133 and 37 C.F.R. §1.137(a) is clear, unambiguous, and without qualification: the delay in tendering the reply to the outstanding Office action, as well as filing the first petition seeking revival, must have been unavoidable for the reply now to be accepted on petition.<sup>6</sup>

Delays in responding properly raise the question whether delays are unavoidable.<sup>7</sup> Where there is a question whether the delay was unavoidable, Petitioners must meet the burden of establishing that the delay was unavoidable within the meaning of 35 U.S.C. §133 and 37 C.F.R. §1.137(a).<sup>8</sup>

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modification, or reversal of existing law or the establishment of new law;

(iii) The allegations and other factual contentions have evidentiary support or, if specifically so identified, are likely to have evidentiary support after a reasonable opportunity for further investigation or discovery; and

(iv) The denials of factual contentions are warranted on the evidence, or if specifically so identified, are reasonably based on a lack of information or belief.

(c) Violations of paragraph (b)(1) of this section by a practitioner or non-practitioner may jeopardize the validity of the application or document, or the validity or enforceability of any patent, trademark registration, or certificate resulting therefrom. Violations of any of paragraphs (b)(2)(i) through (iv) of this section are, after notice and reasonable opportunity to respond, subject to such sanctions as deemed appropriate by the Commissioner, or the Commissioner's designee, which may include, but are not limited to, any combination of —

- (1) Holding certain facts to have been established;
- (2) Returning papers;
- (3) Precluding a party from filing a paper, or presenting or contesting an issue;
- (4) Imposing a monetary sanction;
- (5) Requiring a terminal disclaimer for the period of the delay; or
- (6) Terminating the proceedings in the Patent and Trademark Office.

(d) Any practitioner violating the provisions of this section may also be subject to disciplinary action. See § 10.23(c)(15).

[Added 50 FR 5175, Feb. 6, 1985, effective Mar. 8, 1985; para. (a) revised, 58 FR 54494, Oct. 22, 1993, effective Nov. 22, 1993; paras. (a) & (b) revised, paras. (c) & (d) added, 62 FR 53131, Oct. 10, 1997, effective Dec. 1, 1997; para. (a) revised, 69 FR 56481, Sept. 21, 2004, effective Oct. 21, 2004]

<sup>5</sup> 35 U.S.C. §133 provides:

**35 U.S.C. §133 Time for prosecuting application.**

Upon failure of the applicant to prosecute the application within six months after any action therein, of which notice has been given or mailed to the applicant, or within such shorter time, not less than thirty days, as fixed by the Commissioner in such action, the application shall be regarded as abandoned by the parties thereto, unless it be shown to the satisfaction of the Commissioner that such delay was unavoidable.

<sup>6</sup> Therefore, by example, an unavoidable delay in the payment of the Filing Fee might occur if a reply is shipped by the US Postal Service, but due to catastrophic accident, the delivery is not made.

<sup>7</sup> See: *Changes to Patent Practice and Procedure; Final Rule Notice*, 62 Fed. Reg. at 53158-59 (October 10, 1997), 1203 Off. Gaz. Pat. Office at 86-87 (October 21, 1997).

<sup>8</sup> See: *In re Application of G*, 11 USPQ2d 1378, 1380 (Comm'r Pats. 1989).

And the Petitioner must be diligent in attending to the matter.<sup>9</sup> Failure to do so does not constitute the care required under Pratt, and so cannot satisfy the test for diligence and due care.

(By contrast, unintentional delays are those that do not satisfy the very strict statutory and regulatory requirements of unavoidable delay, and also, by definition, are not intentional.<sup>10</sup>)

Allegations as to  
Unintentional Delay

The requirements for relief under the provisions of 37 C.F.R. §1.137(b) are: petition, fee, reply, showing of unintentional delay, and—where appropriate—a terminal disclaimer and fee

It appears that Petitioner has not satisfied the “statement/showing” requirement of the regulation.

CONCLUSION

The petition under 37 C.F.R. §1.137(b) is dismissed.

Further correspondence with respect to this matter should be addressed as follows:<sup>11</sup>

By mail:      Commissioner for Patents<sup>12</sup>  
                  P.O. Box 1450  
                  Alexandria, VA 22313-1450

By FAX:      IFW Formal Filings  
                  (571) 273-8300  
                  ATTN.: Office of Petitions

By hand:      Mail Stop: Petition

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<sup>9</sup> See: Diligence in Filing Petitions to Revive and Petitions to Withdraw the Holding of Abandonment, 1124 Off. Gaz. Pat. Office 33 (March 19, 1991). It was and is Petitioner's burden to exercise diligence in seeking either to have the holding of abandonment withdrawn or the application revived. See 1124 Off. Gaz. Pat. Office supra.

<sup>10</sup> Therefore, by example, an unintentional delay in the reply might occur if the reply and transmittal form are to be prepared for shipment by the US Postal Service, but other pressing matters distract one's attention and the mail is not timely deposited for shipment.

<sup>11</sup> On July 15, 2005, the Central Facsimile (FAX) Number changed to (571) 273-8300. The number (571) 273-8300 is be the only facsimile number recognized for centralized delivery. (For further information, see: <http://www.uspto.gov/web/offices/pac/dapp/ola/preonotice/cfax062005.pdf>.)

<sup>12</sup> To determine the appropriate addresses for other subject-specific correspondence, refer to the USPTO Web site at [www.uspto.gov](http://www.uspto.gov).

Customer Service Window  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

While telephone inquiries regarding this decision may be directed to the undersigned at (571) 272-3214, it is noted that all practice before the Office is in writing (see: 37 C.F.R. §1.2<sup>13</sup>) and the proper authority for action on any matter in this regard are the statutes (35 U.S.C.), regulations (37 C.F.R.) and the commentary on policy (MPEP). Therefore, no telephone discussion may be controlling or considered authority for Petitioner's action(s).



John J. Gillon, Jr.  
Senior Attorney  
Office of Petitions

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<sup>13</sup> The regulations at 37 C.F.R. §1.2 provide:

**§1.2 Business to be transacted in writing.**

All business with the Patent and Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.